| | |
|---|---|
| **Title: Beneficiary Account Administration**<br>*Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)* | **Process Number**<br>**_____B.6.3.1_________** |

## Process Definition *Provide an overview of the process and define its starting and ending points*

| | |
|---|---|
| **1.1 Starts With** | Beneficiary account administration request |
| **1.2 Process Overview** | Beneficiary account administration / maintenance functions include: establishing, updating, restricting, opening, and closing accounts. Account administration also includes establishing scheduled auto-pay, reviewing daily scheduled disbursements and designing self-explanatory account statement formats and Explanation of Payment (EOP) with beneficiary input. Any account maintenance activity that is performed is communicated to the beneficiary through an automated confirmation notice.<br><br>Account administration requests come directly from the beneficiary, the Ownership process or the Land and Natural Resources Use and Management process. Upon receipt of a request from a beneficiary, the beneficiary's identity is verified, and the contact is documented in the tracking system before the account activity is performed as requested. Whenever, a beneficiary makes a request to close an account, they are provided counseling or advice on options for investment or other alternatives.<br><br>Whenever the Ownership process identifies that new accounts need to be established for heirs of a probate, or a beneficiary who was previously a minor comes of age, the new accountholder is counseled on options concerning the use of the account. This includes establishing accounts for minors, whereabouts unknown, etc.<br><br>Notification of requirements for opening beneficiary accounts from the Land and Natural Resource Use and Management process are received as distribution advices. The distribution advices are used to open new IIM accounts.<br><br>The Financial Operations process provides assistance and support during the counseling. |
| **1.3 Stops With** | Updated beneficiary account information |

## 2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

| **Goal/Objective** |
|---|
| Provide beneficiaries with convenient access to trust account services and information. |

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## 3. How should Beneficiaries be involved in this process?

| Beneficiary Involvement |
|---|
| Beneficiary is provided with the appropriate documentation to perform account administration for his / her account. |

## 4. Organizations, Offices and Roles. *Identify the DOI organizations and related roles that should be involved in performing the process.*

### 4.1 DOI Organizations. *Identify the DOI organizations, offices and individual roles that contribute to this process.*

*DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.*
*Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.*
*All individual roles that contribute, in a significant manner, should be identified.*

| Organization | Office | Role | Contribution |
|---|---|---|---|
| BIA | Agency (Integrated Servicing Office) | | Primary contact for performing account administration for a beneficiary's account. |
| OST | Agency (Integrated Servicing Office) | | Primary contact for performing account administration for a beneficiary's account. |
| Compacted / Contracted Tribes | Tribal / Consortium Office | | Primary contact for performing account administration for a beneficiary's account. |
| Tribal Courts | Tribal Office | | Request child support payments. |

### 4.2 External Organizations. *Identify the non-DOI organizations that support the execution of or contribute to this process.*

| External Organization | Contribution |
|---|---|
| Social Security Administration | Provide funds on behalf of the beneficiary. |
| Veterans Administration | Provide funds on behalf of the beneficiary. |

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## 5. Event(s)

*Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

| Event | Description | Estimated Frequency |
|---|---|---|
| Beneficiary request | The beneficiary may make a request to perform administrative activities for his/ her account(s). Also, the beneficiary request may result from a counseling session. | |
| Notification from Ownership | Notification that an account administration activity needs to be performed as a result of an ownership transaction. | |
| Notification from Land and Natural Resource Use and Management | Notification that an account administration activity needs to be performed as a result of an asset leasing transaction. | |
| Tribal Court Request | Notification that child support is required from a beneficiary. | |
| Social Security Request | Notification that a beneficiary receives social security payments. | |
| Veterans Administration Request | Notification that a beneficiary receives veteran payments. | |

## 6. Inputs and Outputs.

*Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

### 6.1 Inputs

| Input | Description |
|---|---|
| Request or notification | The request or notification needs to include beneficiary and account information for beneficiary identity verification and account administration activities. |

### 6.2 Outputs

| Output | Description |
|---|---|
| Account administration confirmation notice | The account administration confirmation notice is automatically generated by the system and communicated to the beneficiary. |

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## 7. Fiduciary and Legal Obligations and Controls

### 7.1 Obligations

*Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.*

| Obligation | Source | Business Impact |
|---|---|---|
| Secretary's Trust Principles | | Provides guidance on responsibility for the management of the Indian trust assets, information and records. |
| 5 USC 552 (Privacy Act / Freedom of Information Act) | | Provides protection of the beneficiary's identification and confidential personal information. |
| 25 CFR 115 (Trust Funds for Tribes and Individual Indians Regulations) | | Provides regulations governing beneficiary trust accounts. |
| 25 CFR 1200 (American Indian Trust Fund Management Reform Act) | | Establishes oversight on DOI Trust reform efforts and allows the Secretary to discharge trust responsibilities. |
| 25 USC 4001 | | Provides authority for 25 CFR 1200. |

### 7.2 Controls

*Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).*

| Control | Reason | Description |
|---|---|---|
| BIA / OST Interagency Procedures Handbook (Attachment that addresses account structure) | Ensures consistency in performing beneficiary account administration | Contains standard administrative operating procedures for administrating tribal and IIM accounts. |

## 8. Mechanisms (Systems of Record) *Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.*

| System Name | Support |
|---|---|
| Trust Integrated Data | Provides access to the beneficiary's personal information and account(s) and serves as a repository for the beneficiary's account(s) and related control(s), such as restrictions and payment schedules. |

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| System Name | Support |
|---|---|
| Tracking System | Tracking data is annotated when the beneficiary account administration request has been completed. |

## 9. Inter-Process Relationships

*Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

### 9.1 Predecessors.

*Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

| Process No. | Name | Condition of Relationship |
|---|---|---|
| B.1.2 | Document Contact | The inquiry / request is documented prior to providing beneficiary account administration activities. |
| FO.3 | Disbursements | Review daily disbursements to ensure timely delivery of funds to beneficiaries. |
| O.3.3 | Close Probate Case | Provide notification that account administration activity needs to be performed as a result of a probate case. |
| UM.2.7 | Prepare Integrated Contract Data | Provide notification that account administration activity needs to be performed as a result of a land use contract. |

### 9.2 Successors.

*Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

| Process No. | Name | Condition of Relationship |
|---|---|---|
| B.3 | Communicate Information | Provide response to inquiry / request to the requestor. |
| FO.1 | Receipt of Funds | Financial Operations uses the beneficiary accounts and related controls to receive funds. |
| FO.5 | Reporting and Statements | Assist in developing understandable Explanation of Payments (EOP) and account statements. |

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## 10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

| Category | Comment |
|---|---|
| Note | The Trust Officer, Superintendent and DAST needs to be skilled in providing counseling on how the beneficiary may use his / her account. |